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PATENT APPLICATION  
10/766,965

IFW



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Thomas J. Daley, et al.  
Serial No.: 10/766,965  
Filing Date: January 29, 2004  
Examiner: Unknown  
Art Unit: 3624  
Title: *SYSTEM AND METHOD FOR AVOIDING  
TRANSACTION COSTS ASSOCIATED  
WITH TRADING ORDERS*

**Mail Stop Amendment**  
Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

**CERTIFICATE OF MAILING BY EXPRESS MAIL**

I hereby certify that the attached Information Disclosure Statement (2 pages), Form PTO-1449 (1 page), with 5 attached references, Baker Botts return postcard (1 postcard), and this Certificate of Mailing (1 page) are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10 on this 3rd day of March 2006 and is addressed to the Commissioner for Patents, PO Box 1450, Alexandria, VA 22313-1450.

  
Levado Hamilton

Express Mail Receipt  
No. **EV 733636536 US**



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Dear Sir:

**INFORMATION DISCLOSURE STATEMENT**

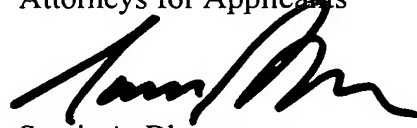
Applicants respectfully request, pursuant to 37 C.F.R. §§ 1.56, 1.97 and 1.98, that the references listed on the attached PTO-1449 form be considered and cited in the examination of the above-identified patent application. The present application was filed after June 30, 2003. Therefore, under the July 11, 2003 waiver of 37 C.F.R. § 1.98(a)(2)(i) by the U.S. Patent and Trademark Office, copies of the US Patents and U.S. Patent Application Publications listed in the attached PTO-1449 form are not enclosed. Copies of all other references are enclosed for the convenience of the Examiner. No representation is made that a search has been made, that these references are material to patentability, or that these references qualify as prior art. The items contained in this Information Disclosure Statement were cited in a communication from a foreign patent office in a counterpart application and this communication was not received by any individual designated in 37 C.F.R. §1.56(c) more than thirty days prior to the filing of this Information Disclosure Statement.

**REMARKS**

Pursuant to 37 C.F.R. § 1.97(b), Applicants believe this Information Disclosure Statement has been filed before the **issuance/mailling** date of the first Office Action. Therefore, Applicants believe no fee is due. However, if a fee is required, the Commissioner is hereby authorized to charge any fees or credit any overpayments to Deposit Account No. 02-0384 of Baker Botts L.L.P.

Respectfully submitted,

Baker Botts L.L.P.  
Attorneys for Applicants

A handwritten signature in black ink, appearing to read 'Samir Bhavsar', is written over the printed name.

Samir A. Bhavsar  
Reg. No. 41,617

Date: March 3, 2006

Correspondence Address:

Customer No. **05073**

PTO-1449

Application No.  
10/766,965Applicant(s)  
Thomas J. Daley, et al.Information Disclosure Citation  
in an ApplicationDocket Number  
069547.0175Group Art Unit  
3624Filing Date  
January 29, 2004

## U.S. PATENT DOCUMENTS

|   | DOCUMENT NO.    | DATE       | NAME              | CLASS | SUBCLASS | FILING DATE |
|---|-----------------|------------|-------------------|-------|----------|-------------|
|   | 4,412,287       | 10/25/1983 | Braddock, III     | 364   | 408      | 09/15/1982  |
| B | 5,077,665       | 12/31/1991 | Silverman, et al. | 364   | 408      | 05/25/1989  |
| C | 6,278,982 B1    | 08/21/2001 | Korhammer, et al. | 705   | 37       | 04/21/1999  |
| D | H 2064 H        | 05/06/2003 | Buchalter         | 705   | 37       | 11/28/2000  |
| E | 2002/0023037 A1 | 02/21/2002 | White, Jr.        | 705   | 37       | 11/05/2001  |
| F | 2005/0171890 A1 | 08/04/2005 | Daley, et al.     | 705   | 37       | 01/29/2004  |
| K |                 |            |                   |       |          |             |
| L |                 |            |                   |       |          |             |
| M |                 |            |                   |       |          |             |
| N |                 |            |                   |       |          |             |
| O |                 |            |                   |       |          |             |
| P |                 |            |                   |       |          |             |
| Q |                 |            |                   |       |          |             |
| R |                 |            |                   |       |          |             |
| S |                 |            |                   |       |          |             |

## FOREIGN PATENT DOCUMENTS

|  |   | DOCUMENT NO.   | DATE       | COUNTRY | CLASS | SUBCLASS | TRANSLATION |    |
|--|---|----------------|------------|---------|-------|----------|-------------|----|
|  |   |                |            |         |       |          | YES         | NO |
|  | T | WO 00/11587 A1 | 03/02/2000 | PCT     | G06F  | 17/60    | X           |    |
|  | U | WO 01/54037 A1 | 07/26/2001 | PCT     | G06F  | 17/60    | X           |    |
|  | V |                |            |         |       |          |             |    |
|  | W |                |            |         |       |          |             |    |
|  | X |                |            |         |       |          |             |    |

## NON-PATENT DOCUMENTS

|  | DOCUMENT (Including Author, Title, Source, and Pertinent Pages)  | DATE       |
|--|--|------------|
|  | Notification of Transmittal of The International Search Report, International Application No. PCT/US05/03159, 4 pages. | 02/24/2006 |
|  | Written Opinion of the International Searching Authority, International Application No. PCT/US05/03159, 7 pages.       | 02/24/2006 |
|  | How to Match Trades and Quotes for NYSE Stocks? Olivier Vergote and K.U. Leuven, Abstract, 21 pages.                   | 03/2005    |

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the applicant.